

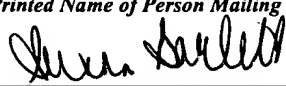
TFW 2164

<b>CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)</b> Applicant(s): Loeper			Docket No. <b>D5009-00028</b>	
Application No. <b>09/916,358</b>	Filing Date <b>7/27/2001</b>	Examiner	Customer No. <b>08933</b>	Group Art Unit <b>9160</b>
Invention: <b>METHOD, SYSTEM AND COMPUTER PROGRAM FOR AUDITING FINANCIAL PLANS</b>				

JUL 29 2005  
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Susan Barlett  
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<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> (Under 37 CFR 1.97(b) or 1.97(c))				Docket No. <b>D5009-00028</b>	
In Re Application Of: <b>Loeper</b>					
Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
<b>09/916,358</b>	<b>7/27/2001</b>		<b>08933</b>	<b>2164</b>	<b>9160</b>
Title: <b>METHOD, SYSTEM AND COMPUTER PROGRAM FOR AUDITING FINANCIAL PLANS</b>					
<div style="text-align: center;"> <p>Address to:</p> <p><b>Commissioner for Patents</b>  <b>P.O. Box 1450</b>  <b>Alexandria, VA 22313-1450</b></p> <p><b>37 CFR 1.97(b)</b></p> <p>1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.</p> <p style="text-align: center;"><b>37 CFR 1.97(c)</b></p> <p>2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:</p> <div style="margin-left: 40px;"> <p><input type="checkbox"/> the statement specified in 37 CFR 1.97(e);</p> <p style="text-align: center;"><b>OR</b></p> <p><input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).</p> </div> </div>					

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
D5009-00028

In Re Application: **Loeper**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
09/916,358	7/27/2001		08933	2164	9160

Title: **METHOD, SYSTEM AND COMPUTER PROGRAM FOR AUDITING FINANCIAL PLANS**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **50-2061** as described below.
- ☐ Charge the amount of \_\_\_\_\_
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- ☐ Payment by credit card. Form PTO-2038 is attached.

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Signature

Dated: 7/27/2005

Jeffrey M. Chamberlain  
Reg. No. 55,044  
Duane Morris LLP  
P.O. Box 5203  
Princeton, NJ 08543-5203  
609-631-2491

CC:

	ATTY DOCKET NO. <b>D5009-00028</b>	APPLICATION NO. <b>09/916,358</b>
	APPLICANT(S) <b>Loeper</b>	
	FILING DATE <b>7/27/2001</b>	GROUP ART UNIT <b>2164</b>

#### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A	5,291,398	3/1/1994	Hagan	364	408	
	B	5,193,056	3/9/1993	Boes	364	408	
	C	4,953,085	8/28/1990	Atkins	364	408	
	D	6,078,904	6/20/2000	Rebane	705	036	
	E	6,064,984	5/16/2000	Ferguson et al.	705	036	

#### U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	F	US2002/0138386 A1	9/26/2002	Maggioncalda et al.	705	036	7/12/2001
	G	US2001/0014873 A1	8/16/2001	Henderson et al.	705	035	1/27/1999
	H	US2002/0091604 A1	7/11/2002	Loeper	705	036	11/5/1999
	I	US2004/0133497	7/8/2004	Spear	705	036	12/18/2003

#### FOREIGN PATENT DOCUMENTS

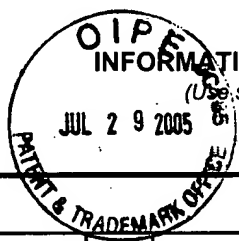
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	J	EP1 283 488 A1	7/2001	CH	G06F 17/6			✓

#### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

		K	"Planners Must Tailor Mutual Fund Mix to Suit Client:, Financial Services Week, August 1990, pp. 23, ISSN: 0895-8440

EXAMINER	DATE CONSIDERED
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE CITATION***(Use several sheets if necessary)*

JUL 29 2005

ATTY DOCKET NO.

D5009-00028

APPLICATION NO.

09/916,358

Loeper

FILING

7/27/2001

GROUP ART

2164

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	L	6,058,376	5/2/2000	Crockett	705	035	
	M	6,012,043	1/4/2000	Albright et al.	705	036	
	N	5,987,433	11/16/1999	Crapo	705	036	
	O	5,615,109	3/25/1997	Eder	395	208	
	P	5,644,727	7/1/1997	Atkins	395	240	

**U.S. PATENT APPLICATION PUBLICATIONS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	Q	US2004/0172357 A1	9/2/2004	Padgett	705		

**FOREIGN PATENT DOCUMENTS**

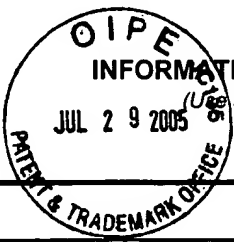
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*


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ATTY DOCKET NO. <b>D5009-00028</b>	APPLICATION NO. <b>09/916,358</b>
<b>Loeper</b>	
FILING <b>7/27/2001</b>	GROUP ART <b>2164</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	R	5,852,811	12/22/1998	Atkins	705	036	
	S	5,933,815	8/3/1999	Golden	705	035	
	T	5,864,828	1/26/1999	Atkins	705	036	
	U	5,911,136	6/8/1999	Atkins	705	036	
	V	5,911,135	6/8/1999	Atkins	705	036	

**U.S. PATENT APPLICATION PUBLICATIONS**

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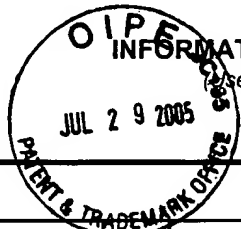
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							YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

		W	LARRY BIERWIRTH, "Investing in retirement: Using the Past to Model the Future", Journal of Financial Planning, v7n1, January 1994, 6 pages

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7/27/2001

GROUP ART

2164

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,884,285	3/16/1999	Atkins	705	036	
	BB	5,884,283	3/16/1999	Manos	705	030	
	CC	5,875,435	2/23/1999	Brown	705	030	
	DD	5,918,217	6/29/1999	Maggioncalda et al.	705	036	
	EE	5,819,263	10/6/1998	Bromley et al.	707	003	

**U.S. PATENT APPLICATION PUBLICATIONS**

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**FOREIGN PATENT DOCUMENTS**

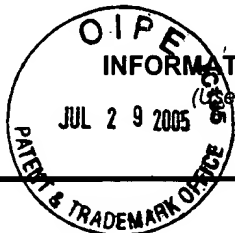
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							YES	NO

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	FF	5,878,405	3/2/1999	Grant et al.	705	039	
	GG	5,875,437	2/23/1999	Atkins	705	040	
	HH	6,021,397	2/1/2000	Jones et al.	705	036	
	II	6,340,542	1/22/2002	Inoue et al.	430	005	
	JJ	5,903,879	5/11/1999	Mitchell	705	038	

**U.S. PATENT APPLICATION PUBLICATIONS**

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**FOREIGN PATENT DOCUMENTS**

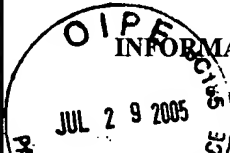
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 <p style="text-align: center;"><b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)</p>	Docket Number (Optional) <b>D5009-00028</b>	Application Number <b>09/916,358</b>
	Applicant(s) <b>Loeper</b>	
	Filing Date <b>7/27/2001</b>	Group Art Unit <b>2164</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	KK	6,012,044	1/4/2000	Maggioncalda et al.	705	036	
	LL	6,564,191	5/13/2003	Reddy	705	036	
	MM	5,946,667	8/31/1999	Tull, Jr. et al.	705	036	
	NN	6,298,334	10/2/2001	Burfield et al.	705	036	
	OO	6,026,381	2/15/2000	Barton, III et al.	705	035	

**U.S. PATENT APPLICATION PUBLICATIONS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

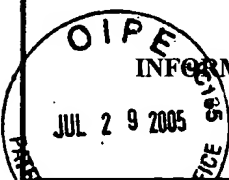
**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)


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**INFORMATION DISCLOSURE CITATION**  
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Applicant(s) <b>Loeper</b>	
Filing Date <b>7/27/2001</b>	Group Art Unit <b>2164</b>

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	PP	5,774,881	6/30/1998	Friend et al.	705	036	

U.S. PATENT APPLICATION PUBLICATIONS							
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FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS <span style="float: right;">(Including Author, Title, Date, Pertinent Pages, Etc.)</span>		

EXAMINER	DATE CONSIDERED
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